

United States District Court
for the
Southern District of New York
Related Case Statement

Full Caption of Later Filed Case:

XY Planning Network, LLC; and Ford
Financial Solutions, LLC

Plaintiff	Case Number
vs.	1:19-cv-08415
<p>United States Securities and Exchange Commission; and Walter "Jay" Clayton III, in his official capacity as Chairman of the United States Securities and Exchange Commission</p>	

Defendant

Full Caption of Earlier Filed Case:

(including in bankruptcy appeals the relevant adversary proceeding)

STATE OF NEW YORK, STATE OF CALIFORNIA,
STATE OF CONNECTICUT, STATE OF
DELAWARE, DISTRICT OF COLUMBIA, STATE
OF MAINE, STATE OF NEW MEXICO, and STATE
OF OREGON

Plaintiff	Case Number
vs.	1:19-cv-08365-VM
<p>UNITED STATES SECURITIES AND EXCHANGE COMMISSION; and WALTER "JAY" CLAYTON III, in his official capacity as Chairman of the United States Securities and Exchange Commission</p>	

Defendant

Status of Earlier Filed Case:

Closed

(If so, set forth the procedure which resulted in closure, e.g., voluntary dismissal, settlement, court decision. Also, state whether there is an appeal pending.)

Open

(If so, set forth procedural status and summarize any court rulings.)

The complaint was filed on 09/09/2019.

Explain in detail the reasons for your position that the newly filed case is related to the earlier filed case.

Both cases allege that the final rule of the United States Securities and Exchange Commission published at 84 Fed. Reg. 33,318 (July 12, 2019) violates the Administrative Procedure Act, 5 U.S.C. §§ 701-706.

Signature: /s/ Jonathan E. Taylor

Date: 09/10/2019

Gupta Wessler PLLC

Firm: